

Exhibit 300: Capital Asset Plan and Business Case Summary**Part I: Summary Information And Justification (All Capital Assets)****Section A: Overview (All Capital Assets)**

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|--|--------------------------------|
| 1. Date of Submission: | 9/10/2007 |
| 2. Agency: | Small Business Administration |
| 3. Bureau: | Management and Administration |
| 4. Name of this Capital Asset: | OMA:Contract Management System |
| 5. Unique Project (Investment) Identifier: (For IT investment only, see section 53. For all other, use agency ID system.) | 028-00-01-08-01-0000-00 |
| 6. What kind of investment will this be in FY2009? (Please NOTE: Investments moving to O&M in FY2009, with Planning/Acquisition activities prior to FY2009 should not select O&M. These investments should indicate their current status.) | Operations and Maintenance |
| 7. What was the first budget year this investment was submitted to OMB? | FY2005 |
| 8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap: | |
- Legislation and Presidential initiatives over the last decade, for example: Clinger Cohen Act (CCA), Presidential Management Agenda and eGovernment initiatives have effectively mandated that procurement functions be simplified and provide accurate data. The intent of these initiatives is to improve the efficiency of the procurement process by facilitating the acquisition of commercial products and by transforming acquisition process to accommodate electronic commerce. Currently, SBA business processes do not provide the capability for end-to-end automated electronic processing of contracts. The SBA Office of Procurement and Grants Management executes over 1500 contracts and two thousand purchase orders each year. Today, a combination of manual processing and standard government forms are used and tracking is done via manual data entry.
- To address these issues, the SBA Office of Procurement and Grants Management is championing the modernization of SBA's acquisition processes. The new system, called the Contract Management System (CMS), will provide enhanced capability and integration throughout SBA. CMS will be an information system that allows the agency to perform end-to-end electronic processing of contracts and brings the Agency into conformance with OMB e-Procurement guidance. CMS will fully support award and management of all types of contract vehicles. CMS will allow SBA to meet the OMB guidance for e-Procurement and will allow an interface with the SBA financial system and Integrated Acquisition Environment systems including: FedBiz Ops, FPDS-NG, CCR and ORCA. CMS benefits include: process efficiencies, automated funds control and better management reporting. SBA contracts are increasing in numbers which increases risks in a labor intensive environment.
- | | |
|---|-----------|
| 9. Did the Agency's Executive/Investment Committee approve this request? | Yes |
| a. If "yes," what was the date of this approval? | 9/27/2006 |
| 10. Did the Project Manager review this Exhibit? | Yes |
| 11. Contact information of Project Manager? | |
| 12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project? | No |
| a. Will this investment include electronic assets (including computers)? | Yes |
| b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only) | No |
| 1. If "yes," is an ESPC or UESC being used to help fund this investment? | |
| 2. If "yes," will this investment meet sustainable design principles? | |
| 3. If "yes," is it designed to be 30% more energy efficient than relevant code? | |

13. Does this investment directly support one of the PMA initiatives? No

If "yes," check all that apply:

a. Briefly and specifically describe for each selected how this asset directly supports the identified initiative(s)? (e.g. If E-Gov is selected, is it an approved shared service provider or the managing partner?)

14. Does this investment support a program assessed using the Program Assessment Rating Tool (PART)? (For more information about the PART, visit www.whitehouse.gov/omb/part.) No

a. If "yes," does this investment address a weakness found during a PART review?

b. If "yes," what is the name of the PARTed program?

c. If "yes," what rating did the PART receive?

15. Is this investment for information technology? Yes

If the answer to Question 15 is "Yes," complete questions 16-23 below. If the answer is "No," do not answer questions 16-23.

For information technology investments only:

16. What is the level of the IT Project? (per CIO Council PM Guidance) Level 1

17. What project management qualifications does the Project Manager have? (per CIO Council PM Guidance) (3) Project manager assigned to investment, but does not meet requirements

18. Is this investment or any project(s) within this investment identified as "high risk" on the Q4 - FY 2007 agency high risk report (per OMB Memorandum M-05-23) No

19. Is this a financial management system? No

a. If "yes," does this investment address a FFIA compliance area?

1. If "yes," which compliance area:

2. If "no," what does it address?

b. If "yes," please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A-11 section 52

20. What is the percentage breakout for the total FY2009 funding request for the following? (This should total 100%)

Hardware	0.000000
Software	70.000000
Services	30.000000
Other	0.000000

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities? No

22. Contact information of individual responsible for privacy related questions:

23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval? No

Question 24 must be answered by all Investments:

24. Does this investment directly support one of the GAO High Risk Areas? No

Section B: Summary of Spending (All Capital Assets)

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated "Government FTE Cost," and should be excluded from the amounts shown for "Planning," "Full Acquisition," and "Operation/Maintenance." The "TOTAL" estimated annual cost of the investment is the sum of costs for "Planning," "Full Acquisition," and "Operation/Maintenance." For Federal buildings and facilities, life-cycle costs should

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include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

Table 1: SUMMARY OF SPENDING FOR PROJECT PHASES (REPORTED IN MILLIONS)									
<i>(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)</i>									
	PY-1 and earlier	PY 2007	CY 2008	BY 2009	BY+1 2010	BY+2 2011	BY+3 2012	BY+4 and beyond	Total
Planning:	0.07	0.08	0	0					
Acquisition:	0.225	0.688	0	0					
Subtotal Planning & Acquisition:	0.295	0.768	0	0					
Operations & Maintenance:	0	0.075	0.34	0.294					
TOTAL:	0.295	0.843	0.34	0.294					
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	0.084	0.084	0.135	0.135					
Number of FTE represented by Costs:	0	0	0	0					

Note: For the multi-agency investments, this table should include all funding (both managing partner and partner agencies). Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's? No

a. If "yes," How many and in what year?

3. If the summary of spending has changed from the FY2008 President's budget request, briefly explain those changes:

Section C: Acquisition/Contract Strategy (All Capital Assets)

1. Complete the table for all (including all non-Federal) contracts and/or task orders currently in place or planned for this investment. Total Value should include all option years for each contract. Contracts and/or task orders completed do not need to be included.

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Contracts/Task Orders Table:															* Costs in millions	
Contract or Task Order Number	Type of Contract/ Task Order	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/ Task Order	End date of Contract/ Task Order	Total Value of Contract/ Task Order (\$M)	Is this an Interagency Acquisition ? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)	Does the contract include the required security & privacy clauses? (Y/N)	Name of CO	CO Contact information (phone/email)	Contracting Officer Certification Level (Level 1,2,3,N/A)	If N/A, has the agency determined the CO assigned has the competencies and skills necessary to support this acquisition ? (Y/N)
SBAHQ-06-F-0409	FFP	Yes	9/27/2006	9/29/2007	9/29/2011	470	No	Yes	No	NA	No	Yes	Jenkins, Billy	202-205-7077 / Billy.Jenkins@sba.gov	N/A	Yes

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

CMS is based on COTS software. The majority of CMS budget is for the purchase of COTS software and maintenance based off of the GSA Schedule 70 of the vendor.

3. Do the contracts ensure Section 508 compliance? Yes

a. Explain why:

4. Is there an acquisition plan which has been approved in accordance with agency requirements? Yes

a. If "yes," what is the date? 5/1/2006

b. If "no," will an acquisition plan be developed?

1. If "no," briefly explain why:

Section D: Performance Information (All Capital Assets)

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures (indicators) must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use the following table to report performance goals and measures for the major investment and use the Federal Enterprise Architecture (FEA) Performance Reference Model (PRM). Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for each of the four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov. The table can be extended to include performance measures for years beyond FY 2009.

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2007		Customer Results	Timeliness and Responsiveness	Response Time	Purchase Order PALT			
2007		Mission and Business Results	Planning and Resource Allocation	Management Improvement	Funds Control			
2007		Processes and Activities	Productivity and Efficiency	Productivity	Ratio of Contracts/Purchase Orders processed per FTE			
2007		Technology	Reliability and Availability	Availability	Percentage of Contracts & Purchase Orders managed through CMS			
2008		Customer Results	Timeliness and Responsiveness	Response Time	Purchase Order PALT			
2008		Mission and Business Results	Planning and Resource Allocation	Management Improvement	Number of processing errors			
2008		Processes and Activities	Productivity and Efficiency	Productivity	Ratio of Contracts/Purchase Orders processed per FTE			
2008		Technology	Reliability and Availability	Availability	Percentage of Contracts & Purchase Orders managed through CMS			
2009		Customer Results	Timeliness and Responsiveness	Response Time	Purchase Order PALT			
2009		Mission and Business Results	Planning and Resource Allocation	Management Improvement	Number of processing errors			
2009		Processes and Activities	Productivity and Efficiency	Productivity	Ratio of Contracts/Purchase Orders processed per FTE			
2009		Technology	Reliability and Availability	Availability	Percentage of Contracts & Purchase Orders			

Performance Information Table								
Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Category	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					managed through CMS			
2010		Customer Results	Timeliness and Responsiveness	Response Time	Purchase Order PALT			
2010		Mission and Business Results	Planning and Resource Allocation	Management Improvement	Number of processing errors			
2010		Processes and Activities	Productivity and Efficiency	Productivity	Ratio of Contracts/Purchase Orders processed per FTE			
2010		Technology	Reliability and Availability	Availability	Percentage of Contracts & Purchase Orders managed through CMS			

Section E: Security and Privacy (IT Capital Assets only)

In order to successfully address this area of the business case, each question below must be answered at the system/application level, not at a program or agency level. Systems supporting this investment on the planning and operational systems security tables should match the systems on the privacy table below. Systems on the Operational Security Table must be included on your agency FISMA system inventory and should be easily referenced in the inventory (i.e., should use the same name or identifier).

For existing Mixed-Life Cycle investments where enhancement, development, and/or modernization is planned, include the investment in both the "Systems in Planning" table (Table 3) and the "Operational Systems" table (Table 4). Systems which are already operational, but have enhancement, development, and/or modernization activity, should be included in both Table 3 and Table 4. Table 3 should reflect the planned date for the system changes to be complete and operational, and the planned date for the associated C&A update. Table 4 should reflect the current status of the requirements listed. In this context, information contained within Table 3 should characterize what updates to testing and documentation will occur before implementing the enhancements; and Table 4 should characterize the current state of the materials associated with the existing system.

All systems listed in the two security tables should be identified in the privacy table. The list of systems in the "Name of System" column of the privacy table (Table 8) should match the systems listed in columns titled "Name of System" in the security tables (Tables 3 and 4). For the Privacy table, it is possible that there may not be a one-to-one ratio between the list of systems and the related privacy documents. For example, one PIA could cover multiple systems. If this is the case, a working link to the PIA may be listed in column (d) of the privacy table more than once (for each system covered by the PIA).

The questions asking whether there is a PIA which covers the system and whether a SORN is required for the system are discrete from the narrative fields. The narrative column provides an opportunity for free text explanation why a working link is not provided. For example, a SORN may be required for the system, but the system is not yet operational. In this circumstance, answer "yes" for column (e) and in the narrative in column (f), explain that because the system is not operational the SORN is not yet required to be published.

Please respond to the questions below and verify the system owner took the following actions:

1. Have the IT security costs for the system(s) been identified and integrated into the overall costs of the investment: Yes

a. If "yes," provide the "Percentage IT Security" for the budget year: 5.000000

2. Is identifying and assessing security and privacy risks a part of the overall risk management effort for each system supporting or part of this investment. Yes

3. Systems in Planning and Undergoing Enhancement(s), Development, and/or Modernization - Security Table(s):			
Name of System	Agency/ or Contractor Operated System?	Planned Operational Date	Date of Planned C&A update (for existing mixed life cycle systems) or Planned Completion Date (for new systems)
Contract Management System	Contractor and Government	11/13/2007	10/17/2007

4. Operational Systems - Security Table:							
Name of System	Agency/ or Contractor Operated System?	NIST FIPS 199 Risk Impact level (High, Moderate, Low)	Has C&A been Completed, using NIST 800-37? (Y/N)	Date Completed: C&A	What standards were used for the Security Controls tests? (FIPS 200/NIST 800-53, NIST 800-26, Other, N/A)	Date Complete(d): Security Control Testing	Date the contingency plan tested

5. Have any weaknesses, not yet remediated, related to any of the systems part of or supporting this investment been identified by the agency or IG? No

a. If "yes," have those weaknesses been incorporated into the agency's plan of action and milestone process?

6. Indicate whether an increase in IT security funding is requested to remediate IT security weaknesses? No

a. If "yes," specify the amount, provide a general description of the weakness, and explain how the funding request will remediate the weakness.

7. How are contractor security procedures monitored, verified, and validated by the agency for the contractor systems above?

8. Planning & Operational Systems - Privacy Table:					
(a) Name of System	(b) Is this a new system? (Y/N)	(c) Is there at least one Privacy Impact Assessment (PIA) which covers this system? (Y/N)	(d) Internet Link or Explanation	(e) Is a System of Records Notice (SORN) required for this system? (Y/N)	(f) Internet Link or Explanation
Contract Management System	Yes	Yes		Yes	
Details for Text Options: Column (d): If yes to (c), provide the link(s) to the publicly posted PIA(s) with which this system is associated. If no to (c), provide an explanation why the PIA has not been publicly posted or why the PIA has not been conducted. Column (f): If yes to (e), provide the link(s) to where the current and up to date SORN(s) is published in the federal register. If no to (e), provide an explanation why the SORN has not been published or why there isn't a current and up to date SORN. Note: Working links must be provided to specific documents not general privacy websites. Non-working links will be considered as a blank field.					

Section F: Enterprise Architecture (EA) (IT Capital Assets only)

In order to successfully address this area of the capital asset plan and business case, the investment must be included in the agency's EA and Capital Planning and Investment Control (CPIC) process and mapped to and supporting the FEA. The business case must demonstrate the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture? Yes

a. If "no," please explain why?

2. Is this investment included in the agency's EA Transition Strategy? Yes

a. If "yes," provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment. Contract Management System (CMS) is identified in the SBA transition strategy.

b. If "no," please explain why?

3. Is this investment identified in a completed (contains a target architecture) and approved segment architecture? Yes

a. If "yes," provide the name of the segment architecture as provided in the agency's most recent annual EA Assessment.

4. Service Component Reference Model (SRM) Table:								
Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to http://www.egov.gov .								
Agency Component Name	Agency Component Description	FEA SRM Service Domain	FEA SRM Service Type	FEA SRM Component (a)	Service Component Reused Name (b)	Service Component Reused UPI (b)	Internal or External Reuse? (c)	BY Funding Percentage (d)
Contract Management System	System to support the automation of Contract Management	Back Office Services	Asset / Materials Management	Computers / Automation Management	Procurement		External	100

a. Use existing SRM Components or identify as "NEW". A "NEW" component is one not already identified as a service component in the FEA SRM.

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b. A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

c. 'Internal' reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. 'External' reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

d. Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the percentage of the BY requested funding amount transferred to another agency to pay for the service. The percentages in the column can, but are not required to, add up to 100%.

5. Technical Reference Model (TRM) Table:				
To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.				
FEA SRM Component (a)	FEA TRM Service Area	FEA TRM Service Category	FEA TRM Service Standard	Service Specification (b) (i.e., vendor and product name)
Procurement	Service Access and Delivery	Access Channels	Collaboration / Communications	

a. Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications

b. In the Service Specification field, agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

6. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

a. If "yes," please describe.

Exhibit 300: Part III: For "Operation and Maintenance" investments ONLY (Steady State)**Section A: Risk Management (All Capital Assets)**

Part III should be completed only for investments identified as "Operation and Maintenance" (Steady State) in response to Question 6 in Part I, Section A above.

You should have performed a risk assessment during the early planning and initial concept phase of this investment's life-cycle, developed a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

1. Does the investment have a Risk Management Plan? Yes
 - a. If "yes," what is the date of the plan? 7/1/2007
 - b. Has the Risk Management Plan been significantly changed since last year's submission to OMB? No
 - c. If "yes," describe any significant changes:

2. If there currently is no plan, will a plan be developed?
 - a. If "yes," what is the planned completion date?
 - b. If "no," what is the strategy for managing the risks?

Section B: Cost and Schedule Performance (All Capital Assets)

1. Was operational analysis conducted? No
 - a. If "yes," provide the date the analysis was completed.
 - b. If "yes," what were the results?

 - c. If "no," please explain why it was not conducted and if there are any plans to conduct operational analysis in the future:
This project will move from DME in FY07 to O&M in FY08.

2. Complete the following table to compare actual cost performance against the planned cost performance baseline. Milestones reported may include specific individual scheduled preventative and predictable corrective maintenance activities, or may be the total of planned annual operation and maintenance efforts).
 - a. What costs are included in the reported Cost/Schedule Performance information (Government Only/Contractor Only/Both)? Contractor and Government
 - b. Comparison of Plan vs. Actual Performance Table:

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Comparison of Plan vs. Actual Performance Table							
Milestone Number	Description of Milestone	Planned		Actual		Variance	
		Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Completion Date (mm/dd/yyyy)	Total Cost(\$M)	Schedule (# days)	Cost(\$M)
1	Planning	5/31/2007	\$0.00042	5/31/2007	\$0.00015	0	\$0.00027
2	CMS Acquisition & Implementation	9/28/2007	\$0.00033	11/13/2007	\$0.000913	-46	\$-0.000583
3	Annual Operations & Maintenance	9/30/2011					
3a	FY2008 O&M	9/30/2008					
3b	FY2009 O&M	9/30/2009					
3c	FY2010	9/30/2010					
3d	FY2011 O&M	9/30/2011					
Project Totals		9/30/2011		11/13/2007	\$	1417	